



4-16-04

Docket No. 7163/SYNX/SYNX/JB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Inventors: Michael R. Rice, Robert B. Lowrance, Martin R. Elliott, Jeffrey C. Hudgens and Eric A. Enghardt  
Title: METHODS AND APPARATUS FOR TRANSPORTING SUBSTRATE CARRIERS  
Serial No.: 10/764,982  
Filed: January 26, 2004

Transmitted herewith is:

☒ PTO Form 1449 and Information Disclosure Statement with five cited references.

☒ Return Postcards

FEE CALCULATION					
Fee Items	Claims Filed	Included With Basic Fee	Extra Claims	Fee Rate	Total
Total Claims	N/A	- 20 =	-0-	X \$18.00	\$0.00
Independent Claims	N/A	- 3 =	-0-	X \$84.00	\$0.00
Basic Filing Fee				\$740.00	\$0.00
TOTAL FEES					\$0.00

☐ The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

☒ Please address all future correspondence to:

**PATENT COUNSEL**  
**APPLIED MATERIALS, INC.**  
Legal Affairs Department  
P.O.BOX 450A  
Santa Clara, CA. 95052

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to:  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Receipt No. EL975550831US

Date of Deposit: 4/13/04

Signature: [Signature]

Respectfully submitted,

[Signature]  
Brian M. Dugan  
Registration No. 41,720  
(914) 332-9081



Express Mail Label No. EL975550831US

PATENTS  
7163/SYNX/SYNX/JB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael R. Rice, Robert B. Lowrance, Martin  
R. Elliott, Jeffrey C. Hudgens and Eric A.  
Englhardt

Serial No. : 10/764,982

Filed : January 26, 2004

For : METHODS AND APPARATUS FOR TRANSPORTING  
SUBSTRATE CARRIERS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following references:

U.S. Patent No. 5,048,164, Harima

U.S. Patent No. 5,603,777, Ohashi

U.S. Patent No. 6,439,822 B1, Kimura et al.

Foreign Art Reference No. JP 10-256346 (JP)

United States Patent Application Publication No. US  
2002/0090282 A1, Pub. Date 7/11/2002.



These references are also listed on the accompanying  
Information Disclosure Statement (Form PTO-1449).

Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Brian M. Dugan", with a long horizontal flourish extending to the right.

Brian M. Dugan, Esq.  
Registration No. 41,720  
Dugan & Dugan, PC  
Attorneys for Applicants  
(914) 332-9081

Dated: 4/13/04  
Tarrytown, New York

U.S. Department of Commerce, Patent and Trademark Office  <div style="display: flex; align-items: center;"> <div>           LIST OF RELEVANT ART CITED BY APPLICANT            (Use several sheets if necessary)         </div> </div>				Docket No.: 7163/SYNX/SYNX/JB		Serial No.: 10/764,982	
				Applicants: Michael R. Rice et al.			
				Filing Date: January 26, 2004		Group:	

  

Patent Documents							
*Examiner Initial	Document Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate	
	US-1	5,048,164	09/17/91	Harima			
	US-2	5,603,777	02/18/97	Ohashi			
	US-3	6,439,822 B1	08/27/02	Kimura et al.			
	US-4						
	US-5						
	US-6						
	US-7						
	US-8						
	US-9						
	US-10						
	US-11						

  

Foreign Patent Documents							Translation	
	Document Number	Date	Country	Class	Subclass	Yes	No	
	F-1	JP 10-256346	09/25/98	JP		Abstract only		
	F-2							
	F-3							
	F-4							
	F-5							

  

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
	OT-1 United States Patent Application Publication No. US 2002/0090282 A1, Pub. Date 7/11/2002
	OT-2
	OT-3

  

Examiner	Date Considered
----------	-----------------

  

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.